



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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In re: Application of:

Paul A. Gompers, et al.

Application No: 09/990,893

Filed: November 14, 2001

For: Private Equity Investments

Examiner: NYA

Art Unit: NYA

Attorney Document No. PET-001.01

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Henry Soohoo

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**UNDER 37 CFR 1.97**

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Submitted herewith on Form PTO-1449 is a listing of documents known to Applicants and/or their attorney in compliance with the requirements of 37 CFR 1.56. Copies of the documents are also being submitted.

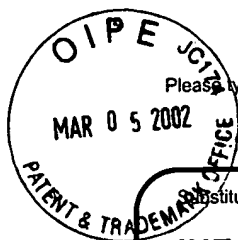
Although we believe that we have appropriately provided for any fees due in connection with this submission, the Commissioner is authorized to credit any overpayment or charge any deficiencies to/from our **Deposit Account No. 06-1448**. Should there be any questions after reviewing this paper, the Examiner is invited to contact the undersigned at (617) 832-1241.

Respectfully Submitted,

Date: February 25, 2002

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 1

### Complete if Known

Application Number	09/990,893
Filing Date	November 14, 2001
First Named Inventor	Gompers, Paul A., et al.
Group Art Unit	NYA
Examiner Name	NYA
Attorney Docket Number	PET-001.01

### OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	AA	GOMPERS, PAUL A., ET AL., Risk and Reward in Private Equity Investments: The Challenge of Performance Assessment, The Journal of Private Equity, Winter, 1997,	✓
	AB	LERNER, JOSH, ET AL., Yale University Investments Office: November 1997, Harvard Business School, Rev. September 28, 1998, p. 1 - 25, Harvard Business School Publishing, Boston, MA.	✓
	AC	ARMSTRONG, ELISSA, Private Equity - The New Asset Class, Highlights of the London Business School Report "UK Venture Capital and Private Equity as an Asset Class for Institutional Investors", BVCA, London, ENGLAND.	✓
	AD	LONG, AUSTIN M., III, Converting IRRs to Time-Weighted Returns, IQ Markets, Inc., www.iqmarkets.com, September 8, 2000.	✓
	AE	HUNTSMAN, BLAINE, ET AL., Investment in New Enterprise: Some Empirical Observations on Risk, Return, and Market Structure, Huntsman and Hoban/Investment in New Enterprise, Summer, 1980, p. 44 - 50.	✓
	AF	GARDNER, GRANT, ET AL., Private Equity in Asset Allocation, Russell, 09/95, p. 1 - 10.	✓
	AG	VENTURE ECONOMICS INFORMATION SERVICES, 1998 Investment Benchmarks Report: Venture Capital, 1998, p. 1 - 46, Newark, NJ.	✓
	AH	HARRELL, DAVID, How to Use Beta, Morningstar.com., 2000.	✓
	AI	HARRELL, DAVID, How Alpha Works, Morningstar.com, 2000.	✓
	AJ	It's a Risky Business, Part 1: Measuring Private Equity Risk, www.iqmarkets.com, September 6, 2000.	-
	AK	It's Risky Business, Part 2: Two Perspectives: Austin Long vs. Lerner/Compers, www.iqmarkets.com, September 5, 2000.	

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